

Element Performance Inspection (EPI) Data Collection Tool
3.1.12 Hazardous Materials / Dangerous Goods Program (OP)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure safety in air transportation when accepting, loading, and transporting hazardous materials/dangerous goods through adherence to an FAA-approved Hazardous Materials/Dangerous Goods Program.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Hazardous Materials/Dangerous Goods Program.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the process.

Specific Instructions:

- Question 1.4: Incident means an event resulting in the unintended and unanticipated release of a hazardous material or an event meeting incident reporting requirements in 49 CFR 171.15, or CFR 171.16. Notification procedures for reporting hazardous material incidents are required by 49 CFR Subchapter C. Whenever this EPI is scheduled to be conducted outside the United States, the inspector should contact
 - their regional specialist for guidance in obtaining a country clearance. This information may also be available through the International Office of Aviation (AIA).
- Significant issues or items of immediate concern regarding all aspects of the air transportation of hazardous materials shall be promptly conveyed to the appropriate PI who will coordinate with the regional Hazardous Materials Branch Manager in accordance with the guidance found in FAA Order 8400.10, Volume 2, Chapter 3, Section 5.

Related EPIs:

- 3.1.1 Passenger Handling (OP)
- 3.1.5 Carry-On Baggage Program (OP)
- 3.1.8 Carriage of Cargo (OP)
- 4.2.1 Maintenance Training Program (AW)
- 4.2.3 Training of Flight Crewmembers (OP)
- 4.2.4 Training of Flight Attendants (OP)
- 4.2.5 Training of Dispatchers (OP)
- 4.2.6 Training of Station Personnel (OP)
- 4.2.9 Outsource Crewmember Training (OP)
- 4.2.11 Training of Flight Followers (OP)
- 4.3.3 Advanced Qualification Program (AQP) (OP)
- 5.1.5 Station Facilities (OP)
- 7.2.1 Safety Program (Ground and Flight) (OP)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(23)
 - 121.135(b)(23)(i)
 - 121.135(b)(23)(ii)
 - 121.135(b)(23)(iii)
 - 121.135(b)(3)
 - 121.433a
 - 121.433a(a)
 - 121.433a(b)
 - 121.433a(c)
 - 49 CFR.171.15
 - 49 CFR.171.16
 - 49 CFR.175.33
 - 49 CFR.Subchapter

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8400.10, Volume 2, Chapter 3
 - HBAT 97-08
 - FSAT 96-06
 - FSAT 02-01A
 - AC 121-21B

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the program. To accomplish this, questions have been generated to test both the outputs of the program as well as the program itself. Question 1 and its following subquestions are directed at the output(s) of the program, whereas questions 2-6, when answered, should be directed at the program itself.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the policies, procedures, instructions and information for the Hazardous Materials/Dangerous Goods Program contained in the certificate holder's manual.
3.	Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.
4.	Observe the Hazardous Materials/Dangerous Goods Program to gain an understanding of the procedures, instructions and information contained in the certificate holder's manual.
5.	Discuss the Hazardous Materials/Dangerous Goods Program with the personnel (other than management) who perform the duties and responsibilities required by the program.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	<p>Were personnel able to identify packages marked or labeled as containing hazardous materials?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> If the Certificate Holder carries, stores, or handles hazardous materials, check at the air carrier's specified location that hazardous materials have the proper shipper certification. <i>Sources:</i> 121.135(b)(23)(i) 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 217 AC 121-21B, Paragraph 3a(1)(a) Check at the Certificate Holder's specified location, who does not accept, handle, or store hazardous materials or dangerous goods, that no packages are accepted by the operator that contain a hazardous material. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 219 Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B Check at the Certificate Holder's specified location that if oxygen generators have been accepted for transportation that it is properly packaged, marked, labeled, and contains verification that it has the "Safe" mechanism installed prior to acceptance. These oxygen generators may also be known as oxygen canisters. <i>Sources:</i> FSAT 96-06, Attachment A 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.2.	<p>Were company personnel able to handle occurrences of radioactive contamination, infectious substances, and poisons in accordance with their procedures?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the training location that the Certificate Holder is providing training on hazardous materials or dangerous goods recognition. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 217 2. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.3.	<p>Were the procedures for handling hazardous materials adhered to by personnel?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 2. Check at the Certificate Holder's specified location that the storage of Class 8 (corrosive) materials is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 3. Check at the Certificate Holder's specified location that the storage of Class 7 (radioactive) materials is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 4. Check at the Certificate Holder's specified location that the storage of Class 6, Division 6.1 (poisonous) materials is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 5. Check at the Certificate Holder's specified location that if company material contains hazardous materials or goods that HAZMAT regulations are being followed. <i>Sources:</i> FSAT 96-06, Attachment A 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.4.	<p>Did individuals associated with the handling of cargo and/or hazardous materials report hazardous-material-related incidents?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.5.	<p>Were the certificate holder's Pilot-in-Command notification procedures followed when carrying hazardous materials?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the aircraft cockpit that the Certificate Holder notifies the pilot in command when there are hazardous materials aboard. <i>Sources:</i> 121.135(b)(23)(iii) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

1.6.	<p>Did the certificate holder maintain records of the individuals who were properly trained to handle hazardous materials?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the records repository that the Certificate Holder has not used any person to perform any assigned duties and responsibilities for the handling or carriage of dangerous articles and magnetized materials governed by Title 49 CFR, unless within the preceding 12 calendar months that person has satisfactorily completed training in a program established and approved under this subpart. <i>Sources:</i> 121.433a(a) 2. If a person has not completed the training within 12 calendar months, check at the Records Repository to see if they satisfactorily completed training in the calendar month before, or the calendar month after, the month in which it became due. (This training is considered to have been taken during the month it became due.) <i>Sources:</i> 121.433a(a) 3. Check at the Records Repository that the Certificate Holder maintains a record of the satisfactory completion of the initial and recurrent training given to crewmembers and ground personnel who perform assigned duties and responsibilities for the handling and carriage of dangerous articles and magnetized materials. <i>Sources:</i> 121.433a(b) 4. Check at the training location that the Certificate Holder is providing training on hazardous materials or dangerous goods recognition. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 217 5. Check at the Certificate Holder's training location, who does not accept, handle, or store hazardous materials or dangerous goods, that all personnel responsible for accepting and handling any cargo or packaged materials, receives adequate training on the recognition of items classified as hazardous materials or dangerous goods. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 217 Note. 6. Check at the Certificate Holder's specified location that the training program has been approved by the POI. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 223B 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.7.	<p>Were packages containing hazardous materials inspected for damage?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.8.	<p>Were the certificate holder's procedures followed when oxygen generators were shipped?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. If the Certificate Holder carries, stores, or handles hazardous materials, check at the air carrier's specified location that hazardous materials have the proper shipper certification. <i>Sources:</i> 121.135(b)(23)(i) 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 217 AC 121-21B, Paragraph 3a(1)(a) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p>2. Check at the aircraft cockpit that the Certificate Holder notifies the pilot in command when there are hazardous materials aboard. <i>Sources:</i> 121.135(b)(23)(iii)</p> <p>3. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B</p> <p>4. Check at the Certificate Holder's specified location, if they are transporting oxygen canisters, that they are classified as hazardous material. <i>Sources:</i> FSAT 96-06, Attachment A</p> <p>5. Check at the Certificate Holder's specified location, if they are transporting oxygen canisters, that they are properly marked. <i>Sources:</i> FSAT 96-06, Attachment A</p> <p>6. Check at the Certificate Holder's specified location that; Oxygen generators accepted for transportation have a safe mechanism to prevent accidental discharge during transport. <i>Sources:</i> FSAT 96-06, Attachment A</p> <p>7. Check at the Certificate Holder's specified location that if oxygen generators have been accepted for transportation that it is properly packaged, marked, labeled, and contains verification that it has the "Safe" mechanism installed prior to acceptance. These oxygen generators may also be known as oxygen canisters. <i>Sources:</i> FSAT 96-06, Attachment A</p>	
1.9.	<p>Were hazardous materials accepted in accordance with the certificate holder's procedures? <i>Related Performance JTIs:</i></p> <p>1. Check at the Certificate Holder's specified location, who does not accept, handle, or store hazardous materials or dangerous goods, that no packages are accepted by the operator that contain a hazardous material. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 219</p> <p>2. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B</p> <p>3. Check at the Certificate Holder's specified location that the storage of Class 8 (corrosive) materials is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B</p> <p>4. Check at the Certificate Holder's specified location that the storage of Class 7 (radioactive) materials is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B</p> <p>5. Check at the Certificate Holder's specified location that the storage of Class 6, Division 6.1 (poisonous) materials is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B</p> <p>6. Check at the Certificate Holder's specified location, if they are transporting oxygen canisters, that they are properly marked.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p> <p><input type="checkbox"/> Not Applicable</p>

	<i>Sources:</i> FSAT 96-06, Attachment A	
1.10.	<p>Were compatibility of materials restrictions adhered to by personnel?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.	<p>Were the certificate holder's policies, procedures, instructions and information, contained in its manual, for the Hazardous Materials/Dangerous Goods Program followed?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the Certificate Holder's specified location that the storage of hazardous materials and dangerous goods is in accordance with the Certificate Holder's specific guidance. <i>Sources:</i> 8400.10, Volume 2, Chapter 3, Section 5, Paragraph 227B 2. Check at the Certificate Holder's specified location, if they are transporting oxygen canisters, that they are classified as hazardous material. <i>Sources:</i> FSAT 96-06, Attachment A 3. Check at the Certificate Holder's specified location, if they are transporting oxygen canisters, that they are properly marked. <i>Sources:</i> FSAT 96-06, Attachment A 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Hazardous Materials/Dangerous Goods Program controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Hazardous Materials/Dangerous Goods Program comply with the instructions provided in the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the Hazardous Materials/Dangerous Goods Program effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
<p>Objective: The questions in this section address the responsibility and authority of the program. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the program, is answerable for the quality of the program, and has the authority to establish and modify the program. (The person with authority may or may not be the person with the responsibility.)</p>	
Tasks	
	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6 below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who has overall responsibility for the Hazardous Materials/Dangerous Goods Program.
2.	Identify the person who has overall authority for the Hazardous Materials/Dangerous Goods Program.
3.	Review the duties and responsibilities for the person(s) who manage the Hazardous Materials/Dangerous Goods Program documented in the certificate holder's manual.
4.	Review the appropriate organizational chart.
5.	Discuss the Hazardous Materials/Dangerous Goods Program with the management personnel identified in tasks 1 and 2.
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identified person who is responsible for the quality of the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions and information for the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Hazardous Materials/Dangerous Goods Program meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the Hazardous	<input type="checkbox"/> Yes

	Materials/Dangerous Goods Program meet the qualification standards?	<input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the Hazardous Materials/Dangerous Goods Program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.